

Doc No: KAPUR 5-10

PTO/SB/96 (08-00)  
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#11/11463

STATEMENT UNDER 37 CFR 3.73(b)

GR-2123

Applicant/Patent Owner: Agere Systems Inc.  
Application No./Patent No.: 09/427,238 Filed/Issue Date: October 26, 1999  
Entitled: SYSTEM AND METHOD FOR DETERMINING CAPACITANCE FOR LARGE-SCALE INTEGRATED CIRCUITS  
Agere Systems Inc. a corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)  
Address: 555 Union Boulevard, Allentown, PA 18109

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states that it is:

- 1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A. [ ] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

- 1. From: Inventor(s) To: Lucent Technologies Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel 010413, Frame 0273, or for which a copy thereof is attached.  
2. From: Lucent Technologies Inc. To: Agere Systems Guardian Corp.  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.  
3. From: Agere Systems Guardian Corp. To: Agere Systems Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

[ ] Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

November 26, 2002  
Date

Mark E. Kelley  
Typed or printed name  
Signature  
Attorney for Applicant  
Title

DOCKET

MAR 06 2000 msk



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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Washington, D.C. 20231

MARCH 01, 2000

PTAS

HITT CHWANG & GAINES, P.C.  
DAVID H. HITT  
225 UNIVERSITY PLAZA  
275 WEST CAMPBELL ROAD  
RICHARDSON, TX 75080



\*101217967A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/02/1999

REEL/FRAME: 010413/0273  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
KAPUR, SHARAD

DOC DATE: 11/08/1999

ASSIGNOR:  
LONG, DAVID E.

DOC DATE: 11/08/1999

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ASSIGNEE:  
LUCENT TECHNOLOGIES, INC,  
600 MOUNTAIN AVENUE  
P.O. BOX 636  
MURRAY HILL, NEW JERSEY 07974-0636

JAN 06 2003

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SERIAL NUMBER: 09427238  
PATENT NUMBER:

FILING DATE: 10/26/1999  
ISSUE DATE:

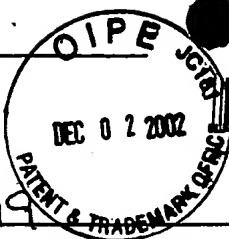
010413/0273 PAGE 2

MAYA BENNETT, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

0651-0011 (exp. 4/94)

12-07-1999

LUCT-119475



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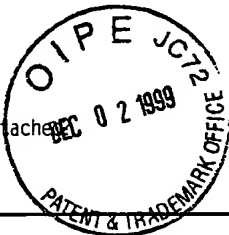
MPO 12-2-99

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Sharad Kapur; David E. Long

Additional name(s) of conveying party(ies) attached

☐ Yes ☒ No

## 2. Name and address of receiving party(ies):

Name: Lucent Technologies Inc.

Internal Address:

Post Office Address: 600 Mountain Avenue  
P.O. Box 636  
Murray Hill, New Jersey 07974-0636Additional name(s) & address(es) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other \_\_\_\_\_

Execution Date: November 8, 1999

## 4. Application number(s) or patent number(s):

If this document is being filed with a new application, the execution date of the application is: November 8, 1999

A. Patent Application No.(s) 09/427,238, filed October 26, 1999

B. Patent No.(s) \_\_\_\_\_

Additional numbers attached?

☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: David H. Hitt  
Hitt Chwang & Gaines, P.C.  
Internal Address: 225 University Plaza  
275 West Campbell Road  
Richardson, Texas 75080

Street Address: Same

12/03/1999 KZENDIE 00000112 122325 09427238

02 FC:581

40.00 CH

## 6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41) . . . . . \$ 40.00

- ☐ Enclosed  
☒ Authorized to charge deposit account

8. Deposit account number: 12-2325

Attach duplicate copy of this page if paying by deposit account.

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## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

David H. Hitt, Registration No. 33,182  
Name of Person Signing

Signature

NOVEMBER 29, 1999  
Date

Total number of pages including cover sheet, attachments, and document: 3

ASSIGNMENT

For value received, We, Sharad Kapur, of Jersey City in the County of Hudson and State of NJ, and David E. Long, of New Providence in the County of Union and State of NJ, hereby sell, assign and transfer to Lucent Technologies Inc., a corporation of the State of Delaware, having an office at 600 Mountain Avenue, Murray Hill, New Jersey 07974-0636, U.S.A., and its successors, assigns and legal representatives, the entire right, title and interest, for the United States of America, in and to certain inventions related to "SYSTEM AND METHOD FOR DETERMINING CAPACITANCE FOR LARGE-SCALE INTEGRATED CIRCUITS" described in an application for Letters Patent of the United States, executed by us of even date herewith, and all the rights and privileges in said application and under any and all Letters Patent that may be granted in the United States for said inventions; and we also concurrently hereby sell, assign and transfer to Lucent Technologies Inc. the entire right, title and interest in and to said inventions for all countries foreign to the United States, including all rights of priority arising from the application aforesaid, and all the rights and privileges under any and all forms of protection, including Letters Patent, that may be granted in said countries foreign to the United States for said inventions.

We authorize Lucent Technologies Inc. to make application for such protection in its own name and maintain such protection in any and all countries foreign to the United States, and to invoke and claim for any application for patent or other form of protection for said inventions, without further authorization from us, any and all benefits, including the right of priority provided by any and all treaties, conventions or agreements.

We hereby consent that a copy of this assignment shall be deemed a full legal and formal equivalent of any document which may be required in any country in proof of the right of Lucent Technologies Inc. to apply for patent or other form of protection for said inventions and to claim the aforesaid benefit of the right of priority.

We request that any and all patents for said inventions be issued to Lucent Technologies Inc. in the United States and in all countries foreign to the United States, or to such nominees as Lucent Technologies Inc. may designate.

We agree that, when requested, we shall, without charge to Lucent Technologies Inc. but at its expense, sign all papers, and do all acts which may be necessary, desirable or convenient in connection with said applications, patents, or other forms of protection.

Sharad Kapur  
Sharad Kapur

STATE OF New Jersey  
COUNTY OF Union

§  
§  
§

On this 8 day of November, 1999, before me personally came Sharad Kapur, to me known to be the individual described herein and who executed the foregoing instrument, and acknowledged execution of the same.

Diane C. Thomas  
Notary Public

My Commission Expires:

\_\_\_\_\_  
DIANE C. THOMAS  
NOTARY PUBLIC OF NEW JERSEY  
My Commission Expires July 11, 2001

David E. Long  
David E. Long

STATE OF New Jersey §  
COUNTY OF Union §  
§

On this 8 day of November, 1999, before me personally came David E. Long, to me known to be the individual described herein and who executed the foregoing instrument, and acknowledged execution of the same.

Diane C. Thomas  
Notary Public

My Commission Expires:

\_\_\_\_\_

DIANE C. THOMAS  
NOTARY PUBLIC OF NEW JERSEY  
My Commission Expires July 11, 2001

Lucent Technologies, Inc.  
600 Mountain Avenue (Room 3C-512)  
P.O. Box 636  
Murray Hill, New Jersey 07974-0636

**EXECUTION COPY**

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**PATENT ASSIGNMENT**

**by and between**

**LUCENT TECHNOLOGIES INC.**

**and**

**AGERE SYSTEMS GUARDIAN CORP.**

**Dated as of January 30, 2001**

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## **PATENT ASSIGNMENT**

THIS PATENT ASSIGNMENT (this "Assignment"), effective as of January 30, 2001 (the "Effective Date"), is by and between Lucent Technologies Inc., a Delaware corporation, with offices at 600 Mountain Avenue, Murray Hill, New Jersey 07974, United States of America, ("ASSIGNOR") and Agere Systems Guardian Corp., a Delaware corporation, with offices at 555 Union Boulevard, Allentown, PA 18109, United States of America ("Agere Systems Guardian").

### **RECITALS**

A. WHEREAS, the Board of Directors of ASSIGNOR has determined that it is in the best interests of ASSIGNOR and its stockholders to separate ASSIGNOR's existing businesses into two independent businesses;

B. WHEREAS, ASSIGNOR presently owns or controls certain patents, patent applications, and invention submissions listed in the attached Appendices A and B (hereinafter "TRANSFERRED PATENTS") and;

C. WHEREAS, in furtherance of the foregoing separation, ASSIGNOR desires to transfer, assign, convey, deliver and vest all of its interests and rights in TRANSFERRED PATENTS for all countries, jurisdictions and political entities of the world, to and in Agere Systems Guardian;

NOW, THEREFORE, in consideration of the premises and for other good and valid consideration, the receipt and sufficiency of which are hereby acknowledged, the parties, intending to be legally bound, agree as follows:

ASSIGNOR, subject to existing rights and licenses of third parties, does hereby assign, convey, transfer and deliver, and agrees to assign, convey, transfer and deliver to Agere Systems Guardian, its successors, assigns and legal representatives or nominees, ASSIGNOR's entire right, title and interest, for all countries, jurisdictions and political entities of the world, along with the right to sue for past infringement, to all TRANSFERRED PATENTS listed on Appendices A and B, and corresponding counterpart foreign patents and patent applications, with respect to which, and to the extent to which, ASSIGNOR now has or hereafter acquires the right to so assign, convey, transfer and deliver. Agere Systems Guardian recognizes that ASSIGNOR holds only bare legal title to the TRANSFERRED PATENTS listed in Appendix A (which lists the United States Patents and patent applications previously exclusively licensed to Lucent Technologies Microelectronics Guardian Corp.).


ASSIGNOR and ASSIGNEE recognize that the patents listed in Appendices A and B may inadvertently include patents that are owned by various subsidiaries of ASSIGNOR, including Agere, Inc., Ortel Corporation, Optimay Corporation, Herrmann Technology, Inc., and Enable Semiconductor, Inc. Ownership of such patents shall not be affected by this Patent

Assignment, and ASSIGNEE agrees that any such patents shall be deemed deleted from Appendices A and B.

ASSIGNOR agrees that, upon request it will, at any time without charge to Agere Systems Guardian, but at Agere Systems Guardian's expense, furnish all necessary documentation relating to or supporting chain of title, sign all papers, take all rightful oaths, and do all acts which may be necessary, desirable or convenient for vesting title to TRANSFERRED PATENTS in Agere Systems Guardian, its successors, assigns and legal representatives or nominees; including but not limited to any acts which may be necessary, desirable or convenient for claiming said rights and for securing and maintaining patents for said inventions in any and all countries and for vesting title thereto in Agere Systems Guardian and its respective successors, assigns and legal representatives or nominees.

IN WITNESS WHEREOF, the parties have caused this PATENT ASSIGNMENT to be executed by their duly authorized representatives as of the Effective Date.

**LUCENT TECHNOLOGIES INC.**

By:   
Daniel P. McCurdy  
President, Intellectual Property Business

**AGERE SYSTEMS GUARDIAN CORP.**

By:   
Fred M. Romano  
President

ACKNOWLEDGMENTS

STATE OF NEW JERSEY )

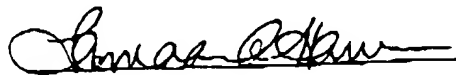
: ss:

COUNTY OF SOMERSET )

I CERTIFY that on January 30, 2001, Daniel P. McCurdy personally came before me and this person acknowledged under oath, to my satisfaction that:

a.) this person signed, sealed and delivered the attached Patent Assignment as President - Intellectual Property Business of Lucent Technologies Inc.; and

b.) this Patent Assignment was signed and made by Lucent Technologies Inc. as its voluntary act and deed by virtue of authority from its Board of Directors.



Name TAMORA ANNE HANNA  
 Notary Public Notary Public of New Jersey  
 My Commission Expires Registered in Hunterdon County  
 [Notarial Seal] My Commission Expires March 25, 2002

STATE OF FLORIDA )

: ss:

COUNTY OF ORANGE )

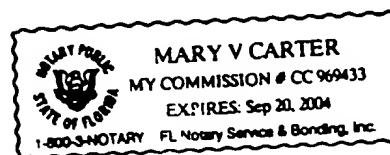
I CERTIFY that on January 31, 2001, Fred M. Romano personally came before me and this person acknowledged under oath, to my satisfaction that:

a.) this person signed, sealed and delivered the attached Patent Assignment as Vice President of Agere Systems Guardian Corp. ; and

b.) this Patent Assignment was signed and made by Agere Systems Guardian Corp. as its voluntary act and deed by virtue of authority from its Board of Directors.



Name  
 Notary Public  
 My Commission Expires:  
 [Notarial Seal]



APPENDIX B (continued)  
Transferred Patents

Case Name	Filing Date	Issue Date	Patent No.	Serial No.
Jelinek 4-3-3	5/27/1999			09/322122
Jin 1	10/26/1998			09/178720
Jin 153-5	5/4/1998		09/072248	
Jin 169-18	1/14/1999			09/231566
Jin 170-19-17-41	11/19/1998			09/196486
Jin 171-45	11/6/1998	10/12/1999	5965197	09/187885
Jin 174-47-43	1/25/1999			09/236966
Jin 178-49-45	1/25/1999			09/236933
Jin 181-2-6-47	6/23/1999			09/338520
Jin 185	9/24/1999			09/405641
Jin 188	1/14/2000			09/483297
Jin 192-23-3	12/17/1999			09/466449
Jin 193-4-39	10/25/1999			60/161291
Jin 196-9-25	4/13/2000			09/548574
Jin 197-55-56	3/8/2000			09/521513
Jin 198-10-26-5	8/18/2000		09/642216	
Jin 2	1/20/2000			09/488662
Jin 4	1/20/2000			09/488355
Joh 6	4/9/1997		08/835624	
Johanson 43	12/22/1998			09/218179
Johanson 59	5/5/1999			09/305207
Johanson 79-37	11/5/1999			09/434299
Johnson 1-29	6/29/1999			09/342783
Johnson 3	9/3/1998		09/146591	
Johnson 4	3/12/1999			09/267279
Johnson 54-44-5-1-17	10/16/1998			09/174503
Johnston 37-13	2/22/1994		08/199910	
Jones 1-20-24-1	6/1/2000			09/585159
Kalish 1	8/11/2000		09/636454	
Kammerman 8-8-4	9/23/1997	5/23/2000	6067291	
Kane 10-8-42	10/27/1999			09/428085
Kane 1-1	10/24/1997		08/957122	
Kane 12-9-45	10/27/1999			09/428184
Kane 6-4	7/2/1999			09/346853
Kane 7-6	7/2/1999			09/347498
Kannell 1-55-2	7/15/1998		09/115656	
Kapur 1-3-1	8/1/1997	5/16/2000	6064808	
Kapur 2-5-3	7/16/1998	4/18/2000	6051027	
Kapur 3-7	11/6/1998			09/187505
Kapur 5-10	10/26/1999			09/427238
Karanicolas 2	2/4/1997	7/25/2000	08/795195	6094093
Karri 1-5-3	10/31/1997	4/18/2000	6052808	
Karri 2-2	4/13/1999			09/291448
Karthikeyan 1-7-10-6-13	4/7/1999			09/287137
Karthikeyan 2-30-54	1/11/2000			09/480387
Karunatilaka 1-3	7/18/2000			09/618172
Katsap 1-5	6/22/1999			09/337741
Katsap 3-10-7	5/6/1999			09/306287
Katsap 4-11-8	5/7/1999			09/310701
Katsap 5-1-1-10-1	6/9/2000			09/591626
Katsap 6-2-2-11-2	6/9/2000			09/591627
Katsap 7-1-1-12	10/7/1999			09/414004
Katz 31-2-3	3/29/1999			09/280103
Katz 35-3-4	1/3/2000			09/476511
Katz 36	5/17/2000			09/572207
Katz 38	6/28/2000			09/605507
Kaufman 13	10/29/1998			09/181568
Kaufman 5	11/18/1997		08/972884	
Kaufman 6	2/24/1998		09/028479	
Kaufman 9-7	9/11/1998		09/151670	